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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 09/927,409      | 08/10/2001  | David Hitz           | 103.1019.10         | 7457             |

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EXAMINER

GYORFI, THOMAS A

ART UNIT PAPER NUMBER

2135

DATE MAILED: 11/23/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/927,409

Applicant(s)

HITZ ET AL.

Examiner

Tom Gyorf

Art Unit

2135

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 09 September 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 31-38, 40-50 and 57-60 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 31-38, 40-50, and 57-60 is/are rejected.
- 7) ☒ Claim(s) 60 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/30/05</u> . | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. Claims 31-38, 40-50, and 57-60 are pending. The correspondence filed 9/9/05 amended claims 31, 34, 43, and 57-60; and cancelled claim 39.

### ***Information Disclosure Statement***

2. The information disclosure statement (IDS) submitted on 9/30/05 has been considered by the examiner.

### ***Response to Arguments***

3. Applicant's arguments, see the interview summary filed 9/7/05, with respect to the rejection(s) of claim(s) 31, 43, and all dependent claims therefrom under Montague and PartitionMagic have been fully considered and are persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Montague and Nelson.

### ***Claim Objections***

4. Claim 60 is objected to because of the following informalities: Applicant recites the limitation "wherein said file server **cashes** said translation" (emphasis Examiner's). As determined from context, Examiner has construed this to be a typographical error. Appropriate correction is required.

***Claim Rejections - 35 USC § 103***

5. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

6. Claims 31-38, 40-50, and 57-60 are rejected under 35 U.S.C. 103(a) as being unpatentable over Montague et al. (U.S. Patent 5,761,669), and further in view of Nelson et al. (U.S. Patent 5,452,447).

Regarding claims 31 and 43:

Montague discloses a method of operating a file server, including steps of identifying a file on said file server as using a first security style selected from among a plurality of security styles corresponding to a plurality of security styles implemented on said file server (Fig. 3 and col. 13, line 60 – col. 14, line 42); and mapping access control limits in another one of said plurality of security styles into said first security style, wherein said mapping is dynamic for reading or modification of said access control limits for said file (col. 13, lines 60-65).

Montague does not disclose wherein said mapping is static for validation of said access control limits for said file. However, Nelson teaches that static mapping is possible for access rights from one security style to another (col. 4, lines 30-35; col. 6, lines 25-50; col. 12, lines 3-11). It would have been obvious to one of ordinary skill in the art to allow for static mapping of access permissions as taught by Nelson. One would be motivated to do so because static mapping allows a file server to cache access permissions in order to conserve network bandwidth (col. 4, lines 10-20).

Regarding claim 34:

Montague and Nelson disclose all the limitations of claim 31 above. Montague further discloses enforcing said first security style for all accesses to said file including accesses in another one of said plurality of security styles (col. 14, lines 42-60), wherein said enforcing step enforces said security style for all accesses to the file regardless of the security style associated with the entity who seeks access to the file (col. 14, lines 45-60; col. 6, lines 50-60).

Regarding claim 35:

Montague and Nelson disclose all the limitations of claim 31 above. Montague further discloses associating said file with a subset of files in a file system and limiting said subset of files to a security subset of said plurality of security style (Fig. 3, in particular elements 72 and 74, and the unlabeled drive icons); wherein attempts to set permission in said subset of files are restricted to said security subset (col. 2, lines 25-30). Examiner contends that, due at least in part to the established differences in handling access permissions among varying operating systems, it is inherent to the disclosed invention that each drive as illustrated in Figure 3 represents one file system wherein all files contained on a given drive necessarily share the same security style, dependent on which operating system said drive was originally formatted for.

Regarding claim 38:

Montague and Nelson disclose all the limitations of claim 35 above. Nelson further discloses caching associations and limits for the subsets of files for future use (col. 18, lines 41-46).

Regarding claim 39:

Montague and Nelson disclose the limitations of claim 38 above. Montague and Nelson also disclose mapping permissions in said first security style to a second security style, and wherein said mapping can be performed dynamically (Montague, col. 7, lines 50-65) or statically (Nelson, col. 7, lines 45-55).

Regarding claim 40:

Montague and Nelson disclose all the limitations of claim 40 above. Montague further discloses identifying said file with a second security style with a file server request for setting permissions for said file when said file server request is successful (col. 14, lines 50-60).

Regarding claim 41:

Montague and Nelson disclose all the limitations of claim 40 above. Montague further discloses associating said second security style with a file server request for setting permissions for said file when said file server request is successful (col. 14, lines 24-27 and also lines 35-40).

Regarding claim 42:

Montague and Nelson disclose all the limitations of claim 40 above. Montague further discloses wherein said file is associated with said second security style regardless of the security style previously associated with said file (element 210 of Figure 9).

Regarding claim 46:

Montague and Nelson further discloses a file server including a subtree of files in said file system associated with a security subset of said plurality of security styles (Montague, Figure 3), wherein said file server restricts attempts to set permission in said subtree to said security subset (Montague, col. 7, lines 55-60).

Regarding claim 49:

Montague and Nelson disclose all the limitations of claim 43 above. Montague further discloses wherein said file server is capable of altering the security style associated with said file in response to a file server request (col. 14, lines 49-53).

Regarding claim 50:

Montague and Nelson disclose all the limitations of claim 49 above. Montague further discloses wherein said file server is capable of altering the security style associated with said file in response to a file server request when said file server request is successful (col. 14, lines 50-60).

Regarding claims 32, 36, 44, and 47:

Montague discloses the limitations found in claims 31, 35, 43, and 46 above.

Montague further discloses a Windows NT security style (col. 6, lines 1-15).

Regarding claims 33, 37, 45, and 48:

Montague discloses the limitations found in claims 31, 35, 43, and 46 above.

Montague further discloses a Unix security style (col. 6, lines 1-15).

Regarding claims 57 and 58:

Montague and Nelson disclose all the limitations of claims 31 and 43 above.

Montague further discloses enforcing said first security style for all accesses to said file including accesses in another one of said plurality of security styles (col. 14, lines 42-60) and translating access control limits for said file to a first security style associated with said accesses (col. 7, lines 50-65).

Regarding claims 59 and 60:

Montague and Nelson disclose all the limitations of claims 31 and 43 above.

Montague further discloses enforcing said first security style for all accesses to said file including accesses in another one of said plurality of security styles (col. 14, lines 42-60), and Nelson discloses caching the translation of an access control list to access permissions (col. 18, lines 41-46)



***Conclusion***

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Andrew Tridgell. "Samba – Unix Talking with PCs". Linux Journal, Volume 1994, Issue 7. ©1994 Specialized Systems Consultants Inc.
- Release Notes for Samba v. 1.9.17p3. Published 10/14/1997
- Daniel W. Drake. "Using Linux to Solve the Problem of Mixed Operating System LAN Services" Proceedings of the 25th annual ACM SIGUCCS conference on User Services. ©1997 ACM.

8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

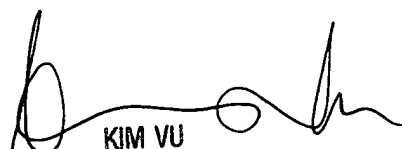
A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tom Gyorfi whose telephone number is (571) 272-3849. The examiner can normally be reached on 8:30am - 5:00pm Monday - Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on (571) 272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

TAG  
11/16/05

  
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